



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Edgar et al.

Serial No. 09/746,171

Filed: December 21, 2000

For: CROSS CORRELATION TOOL FOR
AUTOMATED PORTFOLIO DESCRIPTIVE
STATISTICS

Group Art Unit: 2161

Examiner:

PATENT
Dkt. No. 865-08100

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CERTIFICATE OF MAILING

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March 23, 2001.

Robert E. Slenker
Robert E. Slenker, Reg. No. 45,112

INFORMATION DISCLOSURE STATEMENT

1. ☒ Pursuant to 37 CFR 1.97(b)
[within 3 months of filing or prior to 1st Office Action]
2. ☐ Certification Pursuant to 37 CFR 1.97(c)
[before Final Office Action or Allowance]
3. ☐ Fee Payment Pursuant to 37 CFR 1.97(c)
[before Final Office Action or Allowance]
4. ☐ Petition, Certification & Petition Fee Payment Pursuant to 37 CFR 1.97 (d)
[before Issue Fee payment]

Hon. Commissioner for Patents
Washington, D.C. 20231

Sir:

The following are submitted in the above identified application in compliance with 37 CFR 1.97 & 1.98:

5. ☒ A list of documents on form PTO-1449 together with copies of each identified document and a translation or a concise explanation of each non-English language document is enclosed herewith.

This Paper is submitted in accordance with:

6. ☒ 37 CFR 1.97(b): [within 3 months of filing or prior to 1st Office Action]
7. ☐ 37 CFR 1.97(c): [before Final Office Action or Allowance, whichever is earlier]; and

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The required certification made in item 11 below; or

The \$180 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 14 below.

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10. 37 CFR 1.97(d): [before issue fee payment]; and

a) This is a petition for consideration of the subject Information Disclosure Statement. The petition fee (\$130.00) required by 37 CFR 1.17(i)(1) is authorized in item 14 below. (Direct this letter to: "Attention GROUP DIRECTOR, and if applicable include batch locator information: e.g., "Allowed Files, Batch _____, Date of Allowance _____"), and

b) The required Certification is stated in item 11 below.


11. Certification

12. Each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; or

13. No item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing this document after making reasonable inquiry, was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing of this Statement.

14. ☒ Please charge all applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. 01-2384. An original and two copies of this document is enclosed.

Respectfully submitted,


Robert E. Slenker
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Complete if Known

(use as many sheets as necessary)

09/746,171

December 21, 2000

Edgar et al.

2161

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of

of

85CF-00109

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[illegible][illegible]

Examiner
Signature

Date Considered.

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPPE 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

*Enter citation designation number. *See Attached Copies of U.S. Patent Documents. *Enter Office that issued the document, by the two-letter code (WSIPO Standard 57.3). *For Japanese patent documents, indicate the year of the reign of the Emperor must precede the serial number of the patent document. *Kind of document by the appropriate symbol as indicated on the document under WIPO Standard 57.1, 10, possible. *Applicant to place a check mark in the box if the document is a translation of a foreign patent document.

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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Complete If Known		
		Application Number	09/746,171	
		Filing Date	December 21, 2000	
		First Named Inventor	Edgar et al.	
		Group Art Unit	2161	
Examiner Name			RECEIVED MAR 29 2001	
Attorney Docket Number	85CF-00109			
Sheet	1	of	2	

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OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No.†	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), data, page(s), volume-issue number(s), publisher, city and/or country where published.	†2
	AA	GATH, I. and GEVA, A.B., "Unsupervised Optimal Fuzzy Clustering," IEEE Trans. Pattern Anal. Machine Intell., vol. PAMI-11, no. 7, pp. 773-781, July 1989	
	AB	BEZDEK, JAMES C.; HATHAWAY, RICHARD J.; SABIN, MICHAEL J.; and TUCKER, WILLIAM T., "Convergence Theory For Fuzzy c-Means: Counterexamples and Repairs," IEEE Trans. Syst., Man, Cybern., vol. SMC-17, no. 5, pp. 873-877, September/October 1987	
	AC	DUNN, J.C., "A Fuzzy Relative of the ISODATA Process and Its Use in Detecting Compact Well-Separated Clusters," J. Cybernetics, vol. 3, no. 3, pp. 32-57, 1973	
	AD	L. Breiman, J.H. Friedman, R.A. Olshen and C.J. Stone (1984), <i>Classification and Regression Trees</i> , Chapters 1, 2, 3, 8 and 11, Wadsworth, Belmont, CA	
	AE	BREALEY, RICHARD A. and MYERS, STEWART, C. <i>Principles Of Corporate Finance</i>	
	AF	EFRON, BRADLEY and TIBSHIRANI, ROBERT J., "An Introduction to the Bootstrap," Chapman & Hall publishers	

Examiner Signature	/Richard Weisberger/	Date Considered:	03/16/2009
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 509. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

†Unique citation designation number. *Applicant is to place a checkmark here if English language Translation is attached.

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